



Information Disclosure Statement Transmittal Letter

Application No. 09/369,340

Attorney's Docket No. 013155-031

Page 2

The Commissioner is hereby authorized to charge any appropriate fees under 37 C.F.R. §§ 1.16, 1.17 and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 02-4800. This paper is submitted in triplicate.

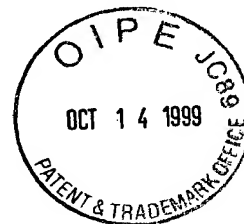
Respectfully submitted,

BURNS, DOANE, SWECKER & MATHIS, L.L.P.

By: James A. LaBarre  
James A. LaBarre  
Registration No. 28,632

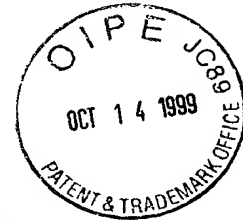
P.O. Box 1404  
Alexandria, Virginia 22313-1404  
(703) 836-6620

Date: *October 14, 1999*



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of )  
 )  
Malcolm SLANEY et al )  
 )  
Application No.: 09/369,340 ) Group Art Unit: 2857  
 )  
Filed: August 6, 1999 ) Examiner: Unassigned  
 )  
For: ESTIMATION OF HEAD-RELATED )  
TRANSFER FUNCTIONS FOR )  
SPATIAL SOUND REPRESENTATIONS )



**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure as set forth in 37 C.F.R. §1.56,  
Applicants hereby submit the following information in conformance with 37 C.F.R.  
§§ 1.97 and 1.98. A copy of each of the documents cited below is enclosed.

**PUBLICATIONS**

Cohen, Elizabeth A. PH.D., "*Technologies for Three Dimensional Sound  
Presentation Issues in Subjective Evaluation of the Spatial Image*"; Cohen Acoustical, Inc.,  
Los Angeles, CA, February 26, 1998, pps. 1-7.

Drucker, Harris et al, "*Support Vector Regression Machines*", Bell Labs and  
Monmouth University, Department of Electronic Engineering, West Long Branch, NJ  
07764, 7 pages.

Kistler, Doris J., "*A model of head-related transfer functions based on principal  
components analysis and minimum-phase reconstruction*", J. Acoust. Soc. Am, Vol. 91,  
No. 3, March 1992, pps. 1637-1647.

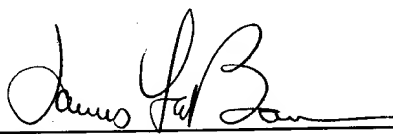
Kyriakakis, Chris, "*Fundamental and Technological Limitations of Immersive Audio Systems*", Proceedings of the IEEE, Vol. 86, No. 5, May 1998, pps. 941-951.

To assist the Examiner, the documents are listed on the attached form PTO-1449.  
It is respectfully requested that an initialled copy of this form be returned to the undersigned.

Respectfully submitted,

BURNS, DOANE, SWECKER & MATHIS, L.L.P.

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# INFORMATION DISCLOSURE CITATION

PTO-1449

ATTORNEY'S DKT No.  
013155-031APPLICATION No.  
09/369,340APPLICANT  
Malcolm SLANEY et alFILING DATE  
August 6, 1999GROUP  
2857

## U.S. PATENT DOCUMENTS

| EXAMINER'S<br>INITIALS | PATENT NO. | DATE | NAME | CLASS | SUBCLASS | FILING DATE |
|------------------------|------------|------|------|-------|----------|-------------|
|                        |            |      |      |       |          |             |
|                        |            |      |      |       |          |             |
|                        |            |      |      |       |          |             |
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|                        |            |      |      |       |          |             |

## FOREIGN PATENT DOCUMENTS

| EXAMINER'S<br>INITIALS | PATENT NO. | DATE | COUNTRY | CLASS | SUBCLASS | Translation |    |
|------------------------|------------|------|---------|-------|----------|-------------|----|
|                        |            |      |         |       |          | Yes         | No |
|                        |            |      |         |       |          |             |    |
|                        |            |      |         |       |          |             |    |
|                        |            |      |         |       |          |             |    |
|                        |            |      |         |       |          |             |    |
|                        |            |      |         |       |          |             |    |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

|          |  |
|----------|--|
|          | Cohen, Elizabeth A. PH.D., "Technologies for Three Dimensional Sound Presentation Issues in Subjective Evaluation of the Spatial Image"; Cohen Acoustical, Inc., Los Angeles, CA, February 26, 1998, pps. 1-7. |
|          | Drucker, Harris et al, "Support Vector Regression Machines", Bell Labs and Monmouth University, Department of Electronic Engineering, West Long Branch, NJ 07764, 7 pages.                                     |
|          | Kistler, Doris J., "A model of head-related transfer functions based on principal components analysis and minimum-phase reconstruction", J. Acoust. Soc. Am, Vol. 91, No. 3, March 1992, pps. 1637-1647.       |
|          | Kyriakakis, Chris, "Fundamental and Technological Limitations of Immersive Audio Systems", Proceedings of the IEEE, Vol. 86, No. 5, May 1998, pps. 941-951.  |
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| EXAMINER | DATE CONSIDERED  |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.